

12/07/01  
J0962 U.S. PTO

12-18-01

A

UTILITY PATENT APPLICATION TRANSMITTAL

(New Nonprovisional Applications Under 37 CFR § 1.53(b))

Attorney Docket No.

Sony-00700

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is the patent application of ( ) application identifier or (X) first named inventor, Maritzen et al., entitled Automated Digital Rights Management and Payment System with Embedded Content, for a(n):

- (X) Original Patent Application.
- ( ) Continuing Application (prior application not abandoned):
- ( ) Continuation ( ) Divisional ( ) Continuation-in-part (CIP)  
of prior application No: \_\_\_\_\_ Filed on: \_\_\_\_\_
- ( ) A statement claiming priority under 35 USC § 120 has been added to the specification.

Enclosed are:

- (X) Specification; 37 Total Pages. (X) Drawing(s); 9 Total Sheets.
- (X) Oath or Declaration:
- (X) A Newly Executed Declaration:
- ( ) Signed. (X) Unsigned. ( ) Partially Signed.
- ( ) A Copy from a Prior Application for Continuation/Divisional (37 CFR § 1.63(d)).
- ( ) Incorporation by Reference. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.
- ( ) Signed Statement Deleting Inventor(s) Named in the Prior Application. (37 CFR § 163(d)(2)).
- (X) Power of Attorney (unsigned). (X) Return Receipt Postcard.
- ( ) Associate Power of Attorney.
- (X) Credit Card authorization in the amount of \$ 1478.00 for the Filing Fee.
- ( ) Preliminary Amendment. ( ) Information Disclosure Statement and Form PTO-1449.
- (X) A Duplicate Copy of this Form for Processing Fee Against Deposit Account.
- ( ) A Certified Copy of Priority Documents (if foreign priority is claimed).
- ( ) Statement(s) of Status as a Small Entity.
- ( ) Statement(s) of Status as a Small Entity Filed in Prior Application, Status Still Proper and Desired.
- ( ) Other: \_\_\_\_\_

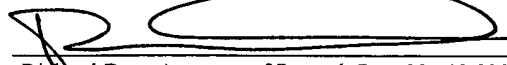
J1003 U.S. PTO  
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12/07/01

10027947-120701

| CLAIMS AS FILED                           |           |           |         |            |
|---|-----------|-----------|---------|------------|
| FOR                                       | NO. FILED | NO. EXTRA | RATE    | FEE        |
| Total Claims                              | 47        | 27        | \$18.0  | \$ 486.00  |
| Independent Claims                        | 6         | 3         | \$84.00 | \$ 252.00  |
| Multiple Dependent Claims (if applicable) |           |           |         | \$0.00     |
| Assignment Recording Fee                  |           |           |         | \$0.00     |
| Basic Filing Fee                          |           |           |         | \$740.00   |
| Total Filing Fee                          |           |           |         | \$ 1478.00 |

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit overpayment to Deposit Account No: 50-1963. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

By:   
Richard Butt, Attorney of Record, Reg. No.40,932

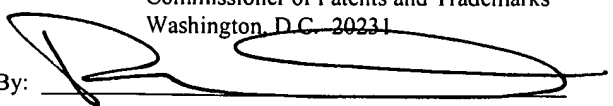
Date: 12/07/01

Correspondence Address:

Valley Oak Law  
5655 Silver Creek Valley Road, #106  
San Jose, CA 95138  
Phone: (408) 223-9763  
Fax: (408) 223-9765

I hereby certify that this is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to:

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

By: 

Typed Name: Richard H. Butt

Express Mail Label No.: ET089413677US

Date of Deposit: 12/07/2001

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**Complete if Known**

|                      |                 |
|----------------------|-----------------|
| Application Number   |                 |
| Filing Date          | 12/7/2001       |
| First Named Inventor | Maritzen et al. |
| Examiner Name        |                 |
| Group Art Unit       |                 |
| Attorney Docket No.  | Sony-00700      |

TOTAL AMOUNT OF PAYMENT (\$ ) 1478.00

**METHOD OF PAYMENT**1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:Deposit Account Number  
501963Deposit Account Name  
Valley Oak Law
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status. See 37 C.J.R. 1.27
2. ☒ Payment Enclosed:
☐ Check ☒ Credit Card ☐ Money Order ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101                   | 740                   | 201                   | 355                   | Utility filing fee     | \$740    |
| 106                   | 320                   | 206                   | 160                   | Design filing fee      |          |
| 107                   | 490                   | 207                   | 245                   | Plant filing fee       |          |
| 108                   | 710                   | 208                   | 355                   | Reissue filing fee     |          |
| 114                   | 150                   | 214                   | 75                    | Provisional filing fee |          |

SUBTOTAL (1) (\$ ) 740

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from Below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 47                 | -20**= 27    | 18             | 486      |
| 6                  | -3**= 3      | 84             | 252      |
| Multiple Dependent |              |                | 0        |

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description   |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                    |
| 102                   | 84                    | 202                   | 40                    | Independent claims in excess of 3                         |
| 104                   | 270                   | 204                   | 135                   | Multiple dependent claim, if not paid                     |
| 109                   | 80                    | 209                   | 40                    | **Reissue independent claims over original patent         |
| 110                   | 18                    | 210                   | 9                     | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ ) 738

\*\* or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105                   | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  |          |
| 127                   | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                   | 130                   | 139                   | 130                   | Non-English specification  |          |
| 147                   | 2,520                 | 147                   | 2,520                 | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                   | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113                   | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 115                   | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116                   | 390                   | 216                   | 195                   | Extension for reply within second month                                    |          |
| 117                   | 890                   | 217                   | 445                   | Extension for reply within third month                                     |          |
| 118                   | 1,390                 | 218                   | 695                   | Extension for reply within fourth month                                    |          |
| 128                   | 1,890                 | 228                   | 945                   | Extension for reply within fifth month                                     |          |
| 119                   | 310                   | 219                   | 155                   | Notice of Appeal   |          |
| 120                   | 310                   | 220                   | 155                   | Filing a brief in support of an appeal                                     |          |
| 121                   | 270                   | 221                   | 135                   | Request for oral hearing   |          |
| 138                   | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140                   | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141                   | 1,240                 | 241                   | 620                   | Petition to revive - unintentional   |          |
| 142                   | 1,240                 | 242                   | 620                   | Utility issue fee (or reissue)   |          |
| 143                   | 440                   | 243                   | 220                   | Design issue fee   |          |
| 144                   | 600                   | 244                   | 300                   | Plant issue fee  |          |
| 122                   | 130                   | 122                   | 130                   | Petitions to the Commissioner  |          |
| 123                   | 50                    | 123                   | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 126                   | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581                   | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146                   | 710                   | 246                   | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                   | 710                   | 249                   | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                   | 710                   | 279                   | 355                   | Request for Continued Examination (RCE)                                    |          |
| 169                   | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

**SUBMITTED BY**

Name (Print/Type) Richard H. Butt

Signature

Registration No. (Attorney/Agent) 40,932

**Complete (if applicable)**

Telephone (408) 223-9763

Date 12/07/2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant commissioner for Patents, Washington, DC 20231.